Doc code :IDS Doc description: Information Disclosure Statement (IDS) Filed

PTO/SB/08a (03-08)
Approved for use through 03/31/2008. OMB 0651-0031
Ormation Disclosure Statement (IDS) Filed
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

INFORMATION DISCLOSURE STATEMENT BY APPLICANT ( Not for submission under 37 CFR 1.99)	Application Number		09801848	
	Filing Date		2001-03-08	
	First Named Inventor Keith			
	Art Unit		3693	
	Examiner Name	Kenne	eth Bartley	
	Attorney Docket Numb	er	125462	

U.S.PATENTS Remove											
Examiner Initial*	Cite No	Patent Number	Kind Code <sup>1</sup>	Issue D	)ate	of cited Document Releva			es,Columns,Lines where evant Passages or Relevant res Appear		
	1	6944879	B2	2005-09	)-13	Hirayama					
If you wish to add additional U.S. Patent citation information please click the Add button.											
U.S.PATENT APPLICATION PUBLICATIONS Remove											
Examiner Initial*	Cite No	Publication Number	Kind Code <sup>1</sup>	Publica Date	tion	of cited Document				Lines where ges or Relev	
	1										
If you wish to add additional U.S. Published Application citation information please click the Add button. Add											
FOREIGN PATENT DOCUMENTS Remove											
Examiner Initial*	Cite No	Foreign Document Number <sup>3</sup>	Country Code <sup>2</sup>		Kind Code <sup>4</sup>	Publication Date	Name of Patentee Applicant of cited Document	or    -	vhere Rel	or Relevant	T5
	1										
If you wish to add additional Foreign Patent Document citation information please click the Add button Add							•				
NON-PATENT LITERATURE DOCUMENTS Remove											
Examiner Initials*  Cite Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc), date, pages(s), volume-issue number(s), publisher, city and/or country where published.						<b>T</b> 5					

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

( Not for submission under 37 CFR 1.99)

Application Number		09801848			
Filing Date		2001-03-08			
First Named Inventor Keith					
Art Unit		3693			
Examiner Name	Kenne	eth Bartley			
Attorney Docket Number		125462			

	1	U.S. Securities and Exchange Commission, "Special Study: Payment for Order Flow and Internalization in the Options Markets," Office of Compliance Inspections and Examinations/Office of Economic Analysis, December 2000, <a href="http://www.sec.gov/news/studies/ordpay.htm">http://www.sec.gov/news/studies/ordpay.htm</a> [retrieved March 25, 2008], pages 1 and 12-14.							
If you wish to add additional non-patent literature document citation information please click the Add button Add									
EXAMINER SIGNATURE									
Examiner Signature			Date Considered						
*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through a citation if not in conformance and not considered. Include copy of this form with next communication to applicant.									
<sup>1</sup> See Kind Codes of USPTO Patent Documents at <a href="www.USPTO.GOV">www.USPTO.GOV</a> or MPEP 901.04. <sup>2</sup> Enter office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>4</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>5</sup> Applicant is to place a check mark here if English language translation is attached.									